



CIVIL AIR PATROL
National Headquarters
Maxwell AFB AL 36112-6332

CAP REGULATION 123-3 (E)

17 AUGUST 2002

Inspection

CIVIL AIR PATROL ASSESSMENT PROGRAM

This regulation provides an explanation of the procedures used in the conduct of CAP unit inspections, staff assistance visits (SAVs), subordinate unit inspections, and self-assessment programs. It establishes procedures and provides guidance regarding the responsibility of unit commanders in processing and replying to inspection and SAV reports. **Note: Shaded areas identify new or revised material.**

1. Scope. The Bylaws of the Civil Air Patrol, Sections 10 and 23 and the Statement of Work for the Civil Air Patrol authorize the assessment of CAP units.

a. Items subject to review include, but are not limited to the following:

1) Implementation of policies, procedures, and regulations established by the Board of Governors, the National Executive Committee, the National Board, and National Headquarters.

2) Management of personnel, corporate resources, and CAP programs.

3) Compliance with CAP directives to include acquisition, control, use, and disposition of Department of Defense (DoD) excess property.

b. The following assessments are **not** covered under this regulation:

1) Short notice inspections conducted in accordance with CAPR 60-2, *CAP Safety and Regulatory Compliance—Short Notice Inspection*.

2) Safety surveys conducted in accordance with CAPR 62-1, *CAP Safety Responsibilities and Procedures*.

3) Survey audits conducted in accordance with CAPR 67-1, *CAP Supply Regulation*.

2. Definitions:

a. Assessment. Review of a unit's management, mission accomplishment and regulatory compliance programs. This review may be a graded evaluation (inspection) or an ungraded SAV.

b. Benchmark Candidate. The best of the best processes observed and researched to date by the assessment team to be considered for emulation by other units.

c. Commendable Item. A highly effective concept, technique, or management practice not observed in other units or significantly better than those found in other units.

d. Finding. A significant deficiency that requires specific answers to CAP/IG and CAP-USAF/IG for inspections or submitted to the assessing agency that completed the SAV, on actions taken to correct the deficiency. In an assessment report, a finding is identified by either a single asterisk (*) or, if a potential for Fraud, Waste, and Abuse (FWA) exists, a double asterisk (**).

e. Higher Headquarters Item. Any observation or finding that requires action from a higher level to resolve. These items will be identified in the appropriate tab of the assessment report.

f. Inspection. Graded assessment intended to determine the effectiveness of unit management, mission accomplishment and regulatory compliance programs.

g. Inspection Guide. A guide developed jointly by CAP/IG and CAP-USAF/IG for use by assessment teams in the evaluation of region or wing headquarters. This guide may also be used by regions and wings to conduct self-assessment programs for their respective headquarters. Separate inspection guides will be developed to assess special mission units.

h. Observation. A minor deficiency documented to place emphasis on the need for resolution before it develops into a more serious problem, to provide crossfeed to other units, or to act as an indicator of overall unit health.

i. Open Item. An answerable finding from a prior assessment in which the unit or higher headquarters' corrective actions are incomplete and CAP/IG and CAP-USAF/IG have not closed. Open items are not repeat findings.

Supersedes CAPR 123-3, 6 March 2002.

OPR: EXAI

Distribution: In accordance with CAPR 5-4.

j. Repeat Finding. A finding reported in the unit's previous inspection, survey audit, or SAV report, which was subsequently closed, which exists again during the current assessment. Repeat findings are answerable findings.

k. Self-Assessment (SA). An inspection conducted by a unit, at any level, to evaluate its own directorates and/or programs using an appropriate level assessment guide.

l. Special Interest Item (SII). An area or function requiring particular assessment emphasis.

m. Staff Assistance Visit (SAV). Ungraded assessment by higher headquarters and/or CAP-USAF Liaison Region (LR) personnel intended to provide assistance in improving mission effectiveness.

n. Subordinate Unit Inspections (SUI). Inspections established by either CAP regions or wings to evaluate the management and mission capability of units below the wing level.

o. Subordinate Unit Inspection Guide. A guide developed jointly by CAP/IG and CAP-USAF/IG for use in assessing units below the wing level.

3. Inspection Frequency and Scheduling:

a. CAP/IG and CAP-USAF/IG will inspect each CAP wing approximately every 48 months. CAP-USAF/LRs are requested to conduct a SAV on each CAP wing in their respective region every 48 months. Ideally, this SAV will occur 9 to 15 months prior to the next scheduled CAP-USAF/IG-CAP/IG inspection.

b. CAP/IG and CAP-USAF/IG will jointly publish an updated schedule of inspections no later than 1 June and 1 December of each year. The schedule should project plans as far into the future as practicable, but not less than 1 year ahead. At least the first 12 months of the schedule will reflect specific inspection dates with the remainder showing the month and year of the proposed inspection. The appropriate region/wing commander(s) are responsible to advise CAP/IG of problems or conflicts with the proposed inspection schedule far enough in advance to allow for travel and other planning to occur, but not later than 3 months prior to the scheduled inspection.

c. CAP-USAF/LRs should publish an updated SAV schedule for their respective wings no later than 1 July and 1 January of each year. SAV schedules should project plans for at least the next 12 months.

d. Additional or follow-up inspections or SAVs may be scheduled as necessary.

e. Any CAP wing receiving an overall marginal rating during an inspection should receive a SAV within 180 days of the inspection by the LR. If the rating was safety related, the LR should conduct the SAV in the 30 to 60 day time frame, with follow-up as necessary.

f. Any CAP wing receiving an overall unsatisfactory rating during an inspection should receive another joint inspection within 180 days by the CAP/IG and CAP-USAF/IG.

g. CAP region/wing commanders may request additional inspections through coordination with CAP/IG. CAP/IG will, in turn, coordinate the request with the appropriate CAP-USAF office(s).

h. All CAP units, programs, and resources are subject to short notice assessments at the discretion of the Board of Governors, CAP/CC, CAP/EX or CAP-USAF/CC.

4. Notification of Assessment. CAP units to be assessed will be notified in writing by the assessing agency approximately 30 days in advance, except for a short notice assessment. The notice will include:

a. The estimated date of arrival and duration.

b. The purpose and scope of the assessment.

c. Additional information that will enable the commander to prepare for and expedite the assessment.

d. Any special requirements or requests.

5. The Inspection/SAV:

a. The inspection or SAV team chief will provide all details pertinent to the visit in the 30-day notification, except for short notice inspections. A formal in-brief is desired, but is not required.

b. CAP wing commanders will provide unit details and data, IAW attachment 1, to the assessing unit's point of contact (POC) at least 10 days prior to the assessment. In case of back-to-back assessments, the notification letter will specify a compliance date for meeting this requirement to ensure receipt at least 10 days prior to the team departing HQ.

c. Inspections and SAVs comprise items contained primarily in published inspection guides, but may include, as necessary and determined pertinent to CAP mission accomplishment by the headquarters staff: CAP Corporate policy and guidance; Air Force, Air Education and Training Command, Air University, CAP, and CAP-USAF directives and instructions; functional area checklists.

d. All wing directors should be present for wing inspections and SAVs. Should a director be unavailable, someone knowledgeable in his/her functional area must represent the absent director. Any wing files and/or documentation must also be available for inspection.

e. At the conclusion of an inspection, the team chief will provide an out-briefing including overall rating, individual area ratings, observations, findings, repeat findings, FWA items, special interest items, commendable items, and benchmark candidates.

f. At the conclusion of a SAV, the team chief should provide an out-briefing to include strengths, weaknesses, and recommendations for each functional area. Ratings will not be assigned.

g. In the interest of progress through assistance, special effort should be made during a SAV, time and resources permitting, to train functional experts, on the spot, to a level of expertise where a discrepancy may be corrected and reported as an observation versus a finding.

6. Assessment Rating Definitions:

a. **Outstanding.** Performance or operation far exceeds mission requirements. Procedures and activities are carried out in a far superior manner. Resources and programs are very efficiently managed and are of exceptional merit. Few, if any, deficiencies exist.

b. **Excellent.** Performance or operation exceeds mission requirements. Procedures and activities are carried out in a superior manner. Resources and programs are very efficiently managed and relatively free of deficiencies.

c. **Satisfactory.** Performance or operation meets mission requirements. Procedures and activities are carried out in an effective and competent manner. Resources and programs are efficiently managed. Minor deficiencies may exist, but do not impede or limit mission accomplishment.

d. **Marginal.** Performance or operation does not meet some mission requirements. Procedures and activities are not carried out in an efficient manner. Resources and programs are not efficiently managed. Deficiencies exist that impede or limit mission accomplishment.

e. **Unsatisfactory.** Performance or operation does not meet mission requirements. Procedures and activities are not carried out in an adequate manner. Resources and programs are not adequately managed. Significant deficiencies exist that preclude or seriously limit mission accomplishment or endanger personnel or resources.

7. Reports:

a. A written report will be prepared for each assessment using the current joint CAP/IG and CAP-USAF/IG report format available on the NHQ web page. Assessment reports will consist of the following sections:

1) **Section I** - Includes the purpose and scope, executive summary, overall assessment, administrative details, team composition, and reply instructions for findings.

2) **Section II** - Includes the assessment details. Each functional area, such as command, administration, aerospace education, etc., is addressed to include observations, findings and recommended corrective action when not self-explanatory. Previously identified inspection, SAV and/or SII discrepancies that have not been corrected will also be addressed. For inspections, each functional area will receive a rating in this section. For SAVs, ratings will not be given. A separate tab summarizes the status of current SIIs. SIIs will be identified by source, number, and expiration date. If an area covered by a SII receives a finding, a cross-reference will appear in the SII tab.

3) **Section III** - Lists the report distribution.

b. **Disclaimer.** All inspection and SAV reports, and associated correspondence containing discrepancy reporting, will include the following statement:

"This is a PRIVILEGED DOCUMENT that cannot be released in whole or part to persons or agencies outside the Civil Air Patrol or USAF, nor can it be republished in whole or part in any publication not containing this statement, including the Civil Air Patrol magazines and general use pamphlets, without the express approval of the Executive Director of the Civil Air Patrol and CAP-USAF Commander."

8. Report Processing.

a. Inspections:

1) Two copies of the inspection report will be forwarded to the unit within approximately 30 days after completion of the inspection.

2) The inspected unit will forward a written reply to all findings to CAP/IG and CAP-USAF/IG with information copies to CAP Region/IG and CAP-USAF/LR. Attachment 2 provides a guide for the formatting of replies. The initial reply to answerable findings will be submitted within 90 days (60 days for safety related findings) of receipt of the Inspection report. Submit progress updates every 60 days thereafter on all open responses until each finding is closed by the CAP/IG and CAP-USAF/IG. Units that fail to close findings in a timely manner may be subject to Headquarters administrative action.

3) National Headquarters directors are responsible to review replies in their applicable functional areas. If corrective action is not considered adequate, then the appropriate director must initiate follow-up action as necessary to the inspected unit. All correspondence to subordinate units regarding inspection results must be coordinated with the CAP/IG and CAP-USAF/IG jointly.

4) CAP/EX and CAP-USAF/CC will accomplish final headquarters review of all inspection reports.

5) When corrective actions are considered adequate, a close-out letter will be forwarded to the inspected unit jointly by CAP-USAF/CC and CAP/EX.

b. SAVs:

1) Two copies of the SAV report are furnished to the evaluated unit within approximately 30 days after completion of the visit. Information copies are provided to the CAP/IG and CAP-USAF/IG and the respective CAP region commander and state liaison office.

2) Replies of corrective action(s) to deficiencies are submitted to the assessing agency that completed the SAV. Use attachment 2 as a format for replying to SAV deficiencies.

3) When all deficiencies are corrected, the appropriate LR will issue a SAV close-out letter to the assessed unit, the Region/IG, CAP/IG and CAP-USAF/IG.

9. Maintenance and Disposition of Inspection and SAV Reports. CAP units will maintain reports and applicable correspondence until issuance of the next assessment report, i.e., inspection or SAV.

10. Subordinate Unit Inspections (SUIs). Each CAP region and wing will establish an inspection program for its subordinate units modeled after the inspection program outlined in this regulation. SUIs are to be conducted at least biennially.

a. The IG at each level will administer the SUI program.

b. The applicable inspection guide developed jointly by the CAP/IG and CAP-USAF/IG will be used to conduct the SUI. Region/wing headquarters may amend subordinate unit inspection guides as appropriate to allow for unique local requirements.

c. A copy of the SUI report for regions and wings will be provided to CAP/IG.

d. A copy of the SUI report for units below wing level will be provided to the inspected unit's wing headquarters. Wings will retain the SUI report for each unit until superseded by the report for the next SUI of that unit.

e. Wings may choose to conduct all SUIs for units within their wing, may conduct SUIs of groups and delegate squadron SUIs to the group, or may arrange SUI responsibility by other plans appropriate to the wing's organizational structure.

11. CAP Unit Self-Assessments:

a. Self-assessments, when conducted properly, provide feedback to the commander highlighting areas that require further emphasis. Administrative requirements should not burden managers, but should realistically identify and help resolve deficiencies. Emphasis should be on mission impact problems and fixing root causes.

b. The appropriate inspection guide will be used for region, wing, and local level self-assessments.

c. New directors or commanders should run a self-assessment within 60 days of assuming their respective positions, then annually thereafter.

d. A copy of the self-assessment report should be provided up one level of command (i.e., squadron to group, group to wing, wing to region) so results may be used internally to enhance mission accomplishment.

2 Attachments

1. Inspection/SAV Unit Details and Data
2. Inspection/SAV Reply Format

SUMMARY OF CHANGES

Subordinate Unit Inspections are to be conducted at least biennially (vice biannually)(paragraph 10).

**INSPECTION and STAFF ASSISTANCE VISIT
UNIT DETAILS AND DATA**

The following outline covers data usually presented at an assessment in-brief. In the interest of timeliness and not burdening or requiring the CAP wing staff to attend the in-brief, one copy, except where noted, of the following data is to be faxed, mailed or e-mailed to the assessing headquarters/POC 10 days prior to the visit or 10 days before the team departs headquarters, as indicated in the Notification of Assessment.

1. Number of units: groups, squadrons, and flights.
2. Number of members: seniors and cadets.
3. Overall wing budget, amount of any state appropriations.
4. Number of vehicles, last fiscal year (FY) vehicle expense, year-to-date (YTD) vehicle expense.
5. Number of aircraft, last FY aircraft expense and income, YTD aircraft expense and income.
6. Counterdrug flying hours last FY, CD hours YTD, percent of private aircraft CD hours last FY and YTD, amount in the wing's 15 percent CD admin fund.
7. Actual Search and Rescue (SAR) flying hours last FY and YTD, actual ground team hours last FY and YTD.
8. SAR training hours last FY and YTD, both flying and ground.
9. Number of cadet orientation flights last FY and YTD.
10. Number of current pilots, number of current mission pilots, number of observers.
11. Number of flight release officers on orders.
12. Number of CAPR 60-2, *Safety and Regulatory Compliance—No-Notice Inspection*, no-notice inspections conducted last calendar year: this YTD. Hard copy results of all inspections should to be presented during the Inspections functional area interview.
13. Copy of any MOUs the wing is operating under.
14. Other items deemed pertinent to the inspection as outlined in the 30-day notification letter to the wing commander.

Pick an appropriate address format based on who conducted the assessment.

INSPECTION/SAV REPLY FORMAT

(Use appropriate letterhead)

(Transmittal Date)

MEMORANDUM FOR LOCAL LIAISON REGION/CC (Reply to SAV by Liaison Region)

or

CAP/IG and CAP-USAF/IG (Reply to Inspection by CAP/IG & CAP-USAF/IG Team)

or

LOCAL REGION/CC (Reply to Inspection or SAV by CAP Region Headquarters)

FROM: State CAP Wing/CC

SUBJECT: (Initial or Follow-up) Reply to SAV (Inspection) Report, (Date of SAV/Inspection)

The following corrective actions have been taken relative to findings noted in the subject report:

TAB A-1 AEROSPACE EDUCATION

(Finding) No AE Plan of Action established. Overall director of aerospace education relieved of duties by wing commander due to failing health. New wing AE recruited internal and external AE officers and is currently working AE Plan of Action. Estimated completion date: 30 Nov 02; POC: Colonel Edward Edsel, State CAP Wing/CC, (334) 555-1212.

TAB C-4 AIRCRAFT MANAGEMENT

***(Finding): Aircraft N98428 did not have a cargo net and the items in the aft storage compartment were not secured in any way IAW CAPR 66-1 Para 11f. A new cargo net has been ordered and installed. Completion date: 15 Oct 02; Request finding be closed. POC: Major Sam Smith, State CAP Wing/LGM, (334) 555-9988.**

(If you are still working on correcting the finding during your initial or follow-up reports, list an estimated completion date. If you have completed corrective action at the unit level, recommend closure of the finding. CAP/IG and/or CAP-USAF/IG will formally advise the unit of acceptance of corrective action and approve closure.)

EDWARD R. EDESEL, Colonel, CAP
Commander

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